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HE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants

Mitsuaki OSHIMA et al.

Confirmation No.: 1959

Appln. No.

: 10/002,621

DEC 2 9 2006

Examiner: Alexander Boakye

Filed

: December 5, 2001

Group Art Unit: 2616

For

: OFDM SIGNAL TRANSMISSION SYSTEM, PORTABLE TERMINAL AND

E-COMMERCE SYSTEM

# REQUEST FOR CITATION OF RELEVANT INFORMATION

Commissioner for Patents
U.S. Patent and Trademark Office
Customer Service Window, Mail Stop: Missing Parts
Randolph Building
401 Dulany Street
Alexandria VA 22314

Sir:

Pursuant to a telephone discussion between the Examiner and the undersigned, Applicant respectfully requests an indication from the Examiner that all of the documents cited in the Information Disclosure Statements filed in the above-identified application on May 9, 2002, and November 27, 2002 were considered.

For the Examiner's convenience, attached are copies of the Information Disclosure Statements and PTO-1449 Forms filed in the present application and copies of date-stamped filing receipts evidencing the filing thereof on May 9, 2002, and November 27, 2002.

The Examiner is respectfully requested to initial the attached PTO-1449 Forms in order to indicated consideration of the documents cited thereon of record.

Should the Examiner have any questions, he is invited to contact the undersigned at the below-listed number.

December 29, 2006 GREENBLUM & BERNSTEIN, P.L.C. 1950 Roland Clarke Place Reston, VA 20191 (703) 716-1191

{P21777 00110240.DOC}

Respectfully submitted,

Mitsuaki OSHIMA

Bruce H. Bernstei

Reg. No. 29,027

William Pieprz Reg. No. 33,630

# GREENBLUM & BERNSTEIN, P.C. Intellectual Property Causes 1941 Roland Clarke Place Reston, VA 20191 (703) 716-1191

5/08/2002

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The Patent Office Date stamp hereon is an a	
indicated, the Patent Office received the	
<ul><li>( ) Amendment</li><li>( ) Executed Assignment and cover letter</li><li>( ) by facsimile</li></ul>	( ) Claim of Priority & Certified Copy of
( ) Executed S.E.S. ( ) S.E.S. Assertion ( ) Req. for Ext. of Time ( ) Fee Filing ( ) Recording ( )	( ) Declaration ( ) Supplemental ( ) New ( ) Unexecuted ( ) Executed by facsimile
Issue () Extension ()  () Fee Transmittal	( ) Transmittal Letter ( ) Patent Application ( ) Provisional ( ) Reexam ( ) Reissue ( ) Design
( ) Maintenance Fee Payment ( ) PTOL-85B Issue Fee ( ) Letter to Draftsman ( ) Design Patent Application Transmittal ( ) Utility Patent Application Cover Sheet ( ) Continued Prosecution Application ( (CPA) Request Transmittal ( ) Request for Continued Examination (RCE including Submission ( ) Cover Letter ( ) Check No. for \$ ( ) Rule 53b and 53f Letter for Unexecuted Application  In the matter of: OFDM SIGNAL TRANSMISSION AND E-COMMERCE SYSTEM	() Continuation () CIP  pages (w/abstract)  claims independent  sheets of drawings  figures  (X) I.D.S. form PTO-1449 & References (X) as attached  () as listed on reverse  () One self-addressed postcard () Certification under 1.97(e) () Certificate of Mailing (C-O-M) () Returned Envelope () Returned Envelope () Returned Envelope () Returned Envelope
Applicant : Mitsuaki OSHIMA	·
	·
Application No. (: 10/002,621	Filed : 12/05/2001
Patent No. :	Issued:
it.	Docket ( P21777 ) No



# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**Applicant** 

Mitsuaki OSHIMA et al.

Group Art Unit: Not Yet Assigned

Serial No.

10/002,621

Examiner: Not Yet Assigned

Filed.

December 5, 2001

For

OFDM SIGNAL TRANSMISSION SYSTEM

PORTABLE TERMINAL AND E-COMMERCE

**SYSTEM** 

# INFORMATION DISCLOSURE STATEMENT

Commissioner of Patents and Trademarks Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, the Applicants hereby call the following documents to the Examiner's attention:

Japanese Laid-Open Patent Publication No. 11-127131, published on November 5, 1999. An English language abstract of the same is also provided; and

Japanese Laid-Open Patent Publication No. 11-196062, published on July 21, 1999.

An English language abstract of the same is also provided.

Further, Applicants hereby call the following documents, which were cited in an International Search Report dated March 12, 2002 for International Application No. PCT/JP01/10677, to the Examiner's attention:

Japanese Laid-Open Patent Publication No. 11-261906, published on September 24, 1999, was cited as a Y-Category document (i.e., document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art) with respect to claims 1-3 of the PCT application. An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 8-275077, published on October 18, 1996, was cited as a Y-Category document with respect to claims 1-3 of the PCT application. An English language abstract of the same is also provided. Applicants also submit herewith patent family members U.S. Patent No. 5,808,694 to USUI et al., issued on September 15, 1998, U.S. Patent No. 6,037,998 to USUI et al., issued on March 14, 2000, and U.S. Patent No. 6,075,570 to USUI et al., issued on June 13, 2000;

Japanese Laid-Open Patent Publication No. 2000-324274, published on November 24, 2000, was cited as an X-Category document (i.e., document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone) with respect to claim 4 of the PCT application. This document was also cited as a Y-Category document with respect to claims 15, 16 and 19-21 of the PCT application; and an A-Category document (i.e., document

defining the general state of the art which is not considered to be of particular relevance) with respect to claims 5, 6, 8, 9, 11-14, 17 and 18 of the PCT application. An English language abstract of the same is also provided. Applicants also submit English language patent family member EP 1 161 072 A2, published on December 5, 2001;

U.S. Patent No. 5,939,699 to PERTTUNEN et al., issued on August 17, 1999, was cited as a Y-Category document with respect to claims 15 and 16. This document was also cited as an A-Category document with respect to claims 5, 6, 8, 9, 11-14, 17, 18, 22-34 and 36-41 of the PCT application;

Japanese Laid-Open Patent Publication No. 8-16740, published on January 19, 1996, was cited as a Y-Category document with respect to claim 19 of the PCT application. This document was also cited as an A-Category document with respect to claims 22-34 and 36-41 of the PCT application. An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 7-146646, published on June 6, 1995, was cited as a Y-Category document with respect to claim 20 of the PCT application. An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 2000-285324, published on October 13, 2000, was cited as an X-Category document with respect to claims 25 and 26. This document was also cited as a Y-Category document with respect to claims 21, 22-24, 27-34

and 36-41 and an A-Category document with respect to claims 5, 6, 8, 9 and 11-14 of the PCT application. An English language abstract of the same is also provided. Applicants also submit English language patent family member WO 00/60436, published on October 12, 2000;

Japanese Laid-Open Patent Publication No. 2000-306003, published on November 2, 2000, was cited as a Y-Category document with respect to claims 22-24, 27-34 and 36-41. An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 10-49571, published on February 20, 1998, was cited as an X-Category document with respect to claim 42 of the PCT application. This document was also cited as a Y-Category document with respect to claims 43-45 of the PCT application. An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 5-263558, published on October 12, 1993, was cited as a Y-Category document with respect to claim 43 of the PCT application. An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 3-222531, published on October 1, 1991, was cited as a Y-Category document with respect to claims 44 and 45 of the PCT application.

An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 2001-256388, published on September 21, 2001, was cited as a P-Category document (i.e., document published prior to the international filing date but later than the priority date claimed) and an X-Category document with respect to claim 42 of the PCT application. An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 2001-325468, published on November 22, 2001, was cited as a P-Category document and an X-Category document with respect to claim 42 of the PCT application. An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 2002-24865, published on January 25, 2002, was cited as an E-Category document (i.e., earlier application or patent but published on or after the international filing date) and an X-Category document with respect to claims 42 and 43 of the PCT application. Applicants note that an English language Abstract is not available at the time of filing this statement;

Japanese Laid-Open Patent Publication No. 2001-344545, published on December 14, 2001, was cited as an E-Category document and an X-Category document with respect to claims 42 and 43 of the PCT application. An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 2001-175904, published on June 29, 2001, was cited as a P-Category document and an X-Category document with respect to claims 42 and 43 of the PCT application. An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 2001-283117, published on October 12, 2001, was cited as a P-Category document and an X-Category document with respect to claims 42 and 43 of the PCT application. An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 8-242213, published on September 17, 1996, was cited as an A-Category document with respect to claims 1-3 of the PCT application. An English language abstract of the same is also provided. Applicants also submit herewith patent family member U.S. Patent No. 5,864,753 to MORITA et al., issued on January 26, 1999;

Japanese Laid-Open Patent Publication No. 62-137912, published on June 20, 1987, was cited as an A-Category document with respect to claims 1-3 of the PCT application. An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 11-146393, published on May 28, 1999, was cited as an A-Category document with respect to claims 1-3 of the PCT application. An English language abstract of the same is also provided;

Japanese Laid-Open Patent Publication No. 2002-24445, published on January 25, 2002, was cited as an E-Category document and an A-Category document with respect to claims 8, 9 and 11-14 of the PCT application. Applicants note that an English language Abstract is not available at the time of filing this statement;

Japanese Utility Model Publication No. 63-102381, published on July 4, 1988, was cited as an A-Category document with respect to claims 8, 9 and 11-14 of the PCT application. A partial English language translation thereof is also provided;

U.S. Patent No. 5,930,767 to REBER et al., issued on July 27, 1999, was cited as an A-Category document with respect to claims 22-34 and 36-41 of the PCT application;

Japanese Laid-Open Patent Publication No. 2001-5883, published on January 12, 2001, was cited as a T-Category document (i.e., later document published after the international filing date or priority dated and not in conflict with the application but cited to understand the principle or theory underlying the invention) with respect to claims 22-34 and 36-41 of the PCT application. An English language abstract of the same is also provided;

Mobile Media Magazine, vol. 66, December, 2000, pages 50-53, was cited as an A-Category document with respect to claims 22-34 and 36-41 of the PCT application. A partial English language translation thereof is also provided; and

"News & Topics", Mobile Media Magazine, December, 2000, page 13, was cited as an A-Category document with respect to claims 22-34 and 36-41 of the PCT application. A partial English language translation thereof is also provided.

A copy of each of the above-noted documents, as well as a copy of the International Search Report, are attached and have been listed on a PTO-1449 Form which is also attached hereto. Accordingly, the Examiner is requested to initial the appropriate spaces on the attached PTO-1449 Form and to return a copy of the Form to the Applicants with the next official communication in the present application to confirm consideration of these documents.

Applicants also bring to the Examiner's attention the following copending and commonly assigned patent application:

U.S. Patent Application No. 09/433,205 to SUDA, entitled "Apparatus and Method for OFDM Communication", filed on November 4, 1999.

In accordance with 37 C.F.R. §1.98(a)(2)(iii), a copy of the above-mentioned application is attached hereto. However, the Examiner is also requested to review the file wrapper of this U.S. patent application at the U.S. Patent and Trademark Office and the references of record, if any, cited therein.

Applicants note that an Office Action on the merits has not yet issued in the instant application, and thus, no fee is necessary to ensure consideration of this statement.

Should the Examiner have any questions, the Examiner is invited to contact the undersigned at the below-listed telephone number.

May 8, 2002 GREENBLUM & BERNSTEIN, P.L.C. 1941 Roland Clarke Place Reston, VA 20191 (703) 716-1191 Respectfully submitted, Mitsuaki OSHIMA eral.

Bruce H. Bernstein Reg. No. 29,027

> William Pieprz Reg. No. 33,630

129-06

Form PTO-1449

Separtment of Commerce Patent and Trademark Office

Serial No. 10/002,621

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)

Applicant Mitsuaki OSHIMA et al.

Atty. Docket No.

P21777

Filing Date December 5, 2001 Group Unknown

#### **U.S. PATENT DOCUMENTS**

	DOCUMENT NUMBER						<b>.</b>	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
			0	8	6	9	4	09/15/98	USUI et al.			
	6	0	3	7	9	9	8	03/14/00	USUI et al.			
	0	7	5	5	7	0	06/13/00	USUI et al.				
	. 5	. 9	9 3 9 6 9 9 08/17/99		08/17/99	PERTTUNEN et al.						
	5	8	6	4	7	5	3	01/26/99	MORITA et al.			
	5	9	3	0	7	·6	7	07/27/99	REBER et al.			
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#### FOREIGN PATENT DOCUMENTS

		DOCU	IME	NT	NU	MBE	ER		DATE	COUNTRY	CLASS	SUBCLASS	TRANSI YES	ATION NO
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	20	00-	2	8	5	3	2	4	10/13/00	JAPAN				

		OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)
	1	English Language Abstract of JP 11-127131.
	2	English Language Abstract of JP 11-196062.
	3	English Language Abstract of JP 11-261906.
·	4	English Language Abstract of JP 8-275077.
	5	English Language Abstract of JP 8-16740.
	6	English Language Abstract of JP 7-146646.
	7	English Language Abstract of JP 2000-285324.

#### **EXAMINER**

DATE CONSIDERED

<sup>\*</sup>EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Sheet <u>2</u> of <u>3</u>

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Form PTO-1449

Department of Commerce Patent and Trademark Office

Atty. Docket No. P21777

Serial No. 10/002,621

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use several sheets if necessary)

Applicant
Mitsuaki OSHIMA et al.

Filing Date
December 5, 2001

Group Unknown

									FOREIGN	PATENT DOCUMENTS				
		DOC	UM	ENT	עע ז	MB	ER		DATE	COUNTRY	CLASS	SUBCLASS	TRANS YES	LATION NO
		00	/ 6 0 4 3 6					6	10/12/00	W.I.P.O.				
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		8	Eı	ngli	sh L	ang	uage	Ab	stract of JP 2	000-306003.				
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		11	E	ngli	sh L	ang	uage	Ab	stract of JP 3	-222531.	•			
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\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance

and not considered. Include copy of this form with next communication to applicant.

Form PTO-144	9								nent of Comn Frademark Of		Atty. Docket No. Serial No. 10/002,621.					
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# GREENBLUM & BERNSTEIN, P.L.C. Intellectual Property Causes 1941 Roland Clarke Place Reston, VA 20191 (703) 716-1191

11/27/2002	File In: Mhiltony
The Patent Office Date stamp hereon is an indicated, the Patent Office received the	
( ) Amendment ( ) Executed Assignment and cover letter	( <b>y</b> ) <b>~</b> I.D.S. form PTO-1449 & References ( ) as attached ( <b>x</b> ) as listed on
In the matter of : OFDM SIGNAL TRANSMISSIO AND E-COMMERCE SYSTEM	ON SYSTEM, PORTABLE TERMINAL
Applicant : Mitsuaki OSHIMA . (- )	· •
Application No. 10/002 621	Filed - 12/05/2001

Patent No.

Issued :

P21777

Docket



# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**Applicant** 

Mitsuaki OSHIMA et al.

Group Art Unit: 2631

Serial No.

10/002,621

Examiner: Not Yet Assigned

Filed

December 5, 2001

For

OFDM SIGNAL TRANSMISSION SYSTEM

PORTABLE TERMINAL AND E-COMMERCE

SYSTEM

# SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner of Patents Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, Applicants hereby call the following information to the Examiner's attention:

In a Second Written Opinion, dated October 29, 2002 for corresponding International Application No. PCT/JP01/10677, the International Examiner cited a number of patent documents, most of which have been previously cited in Information Disclosure Statements filed in the instant application. The following documents (i.e., documents 1-6), included in the Second Written Opinion, have not been previously cited and are thus cited to the Examiner for consideration:

(1) Japanese Laid Open Patent Publication No. 7-6193, published on January 10, 1995, together with an English language Abstract of the same;

- (2) Japanese Laid Open Patent Publication No. 5-45645, published on February 26, 1993, together with an English language Abstract of the same;
- (3) Japanese Laid Open Patent Publication No. 7-129708, published on May 19, 1995, together with an English language Abstract of the same;
- (4) Japanese Laid Open Patent Publication No. 10-70479, published on March 10, 1998, together with an English language Abstract of the same;
- (5) Japanese Laid Open Patent Publication No. 9-149439, published on June 6, 1997, together with an English language Abstract of the same; and
- (6) Japanese Laid Open Patent Publication No. 2000-299888, published on October24, 2000, together with an English language Abstract of the same.

Copies of the above-noted documents (i.e., documents 1-6) are attached and have been listed on a PTO-1449 Form which is also attached hereto. A copy of the Japanese Second Written Opinion is also attached hereto.

While a translation of the Japanese Second Written Opinion is not attached, should the Examiner determine that such a translation would be useful, he is respectfully requested to contact the undersigned who will endeavor to attain and forward a translation to him. Accordingly, the Examiner is requested to initial the appropriate spaces on the attached PTO-1449 Form and to return a copy of the Form to the Applicants with the next official communication in the present application to confirm consideration of these documents.

Further, Applicants note the following documents (i.e., documents 7-15), included in the Second Written Opinion, which have been previously cited in the instant application:

- (7) Japanese Laid-Open Patent Publication No. 11-261906, published on September 24, 1999;
- (8) Japanese Laid-Open Patent Publication No. 8-275077, published on October 18, 1996, together with English language patent family members U.S. Patent No. 5,808,694 to USUI et al., issued on September 15, 1998, U.S. Patent No. 6,037,998 to USUI et al., issued on March 14, 2000, and U.S. Patent No. 6,075,570 to USUI et al., issued on June 13, 2000;
- (9) Japanese Laid-Open Patent Publication No. 2000-285324, published on October 13, 2000, together with English language patent family member WO 00/60436, published on October 12, 2000;
  - (10) U.S. Patent No. 5,939,699 to PERTTUNEN et al., issued on August 17, 1999;
- (11) Japanese Laid-Open Patent Publication No. 7-500715, published on January 19, 1995, together with English language patent family member WO 94/00842 A1, published on January 6, 1994;
- (12) Japanese Laid-Open Patent Publication No. 2000-306003, published on November 2, 2000;
  - (13) Japanese Laid-Open Patent Publication No. 7-146646, published on June 6, 1995;

- (14) Japanese Laid-Open Patent Publication No. 3-222531, published on October 1, 1991; and
- (15) Japanese Laid-Open Patent Publication No. 10-49571, published on February 20, 1998.

Copies of the above-noted documents (i.e., documents 7-15), are not attached hereto, but have been listed on the attached PTO-1449 Form to complete the record.

Applicants note that an Office Action on the merits has not yet issued in the instant application, and thus, no fee is necessary to ensure consideration of this statement.

Should the Examiner have any questions, the Examiner is invited to contact the undersigned at the below-listed telephone number.

Respectfully submitted, Mitsuaki OSHIMA et al.

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Reston, VA 20191 (703) 716-1191

1941 Roland Clarke Place

November 26, 2002

GREENBLUM & BERNSTEIN, P.L.C.

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